

AO 257 (Rev. 6/78)

DEFENDANT INFORMATION RELATIVE TO A CRIMINAL ACTION - IN U.S. DISTRICT COURTBY: ☐ COMPLAINT ☒ INFORMATION ☒ INDICTMENT
☐ SUPERSEDING**OFFENSE CHARGED**

18 U.S.C. § 664 - Theft from an Employee Benefit Plan

- ☐ Petty
☐ Minor
☐ Misdemeanor
☒ Felony

PENALTY: Imprisonment: 5 years
 Fine: \$250,000
 Supervised Release: 3 years
 \$100 special assessment

Name of District Court, and/or Judge/Magistrate Location

NORTHERN DISTRICT OF CALIFORNIA

OAKLAND DIVISION

FILED**DEFENDANT - U.S.**

LISA ROSSI

DISTRICT COURT NUMBER

CR17-00066 JST

FEB - 3 2017

PROCEEDING

Name of Complainant Agency, or Person (& Title, if any)

Dept of Labor

☐ person is awaiting trial in another Federal or State Court, give name of court☐ this person/proceeding is transferred from another district per (circle one) FRCrp 20, 21, or 40. Show District

☐ this is a reprosecution of charges previously dismissed which were dismissed on motion of:

☐ U.S. ATTORNEY ☐ DEFENSESHOW
DOCKET NO.

☐ this prosecution relates to a pending case involving this same defendant

MAGISTRATE
CASE NO.

☐ prior proceedings or appearance(s) before U.S. Magistrate regarding this defendant were recorded under

Name and Office of Person
 Furnishing Information on this form BRIAN J. STRETCH

☒ U.S. Attorney ☐ Other U.S. Agency

Name of Assistant U.S.
 Attorney (if assigned) MAUREEN BESSETTE

DEFENDANT**IS NOT IN CUSTODY**

Has not been arrested, pending outcome this proceeding.

1) ☒ If not detained give date any prior summons was served on above charges2) ☐ Is a Fugitive3) ☐ Is on Bail or Release from (show District)**IS IN CUSTODY**4) ☐ On this charge5) ☐ On another conviction☐ Federal ☐ State6) ☐ Awaiting trial on other charges

If answer to (6) is "Yes", show name of institution

Has detainer
 been filed? ☐ Yes ☐ No

If "Yes"
 give date
 filed

DATE OF
ARREST

Month/Day/Year

Or... if Arresting Agency & Warrant were not

DATE TRANSFERRED
TO U.S. CUSTODY

Month/Day/Year

☐ This report amends AO 257 previously submitted**ADDITIONAL INFORMATION OR COMMENTS****PROCESS:**☐ SUMMONS ☒ NO PROCESS* ☐ WARRANT

Bail Amount: _____

If Summons, complete following:

☐ Arraignment ☐ Initial Appearance

Defendant Address: _____

* Where defendant previously apprehended on complaint, no new summons or warrant needed, since Magistrate has scheduled arraignment

Date/Time: _____ Before Judge: _____

Comments: _____

BRIAN J. STRETCH (CABN 163973)
United States Attorney

FILED
FEB - 3 2017
SUSAN Y. SOONG
CLERK U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
OAKLAND

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

OAKLAND DIVISION

UNITED STATES OF AMERICA,

Plaintiff,

v.

LISA ROSSI,

Defendant.

No.

CR17-00066 JST

VIOLATION: 18 U.S.C. § 664 – Theft
From an Employee Benefit Plan

OAKLAND VENUE

I N F O R M A T I O N

The United States Attorney charges:

Introductory Allegations

At all times relevant to this Information:

1. LISA ROSSI (“ROSSI”) worked at E-D Coat, Inc. (“E-D Coat”), a metal refinishing facility located at 715 4th Street, Oakland, California. In 1976, E-D Coat established an employee pension benefit plan, “The E-D Coat, Inc. Profit Sharing Plan” (“the Plan”), to provide retirement benefits to certain eligible employees. The Plan was subject to Title I of the Employee Retirement Income Security Act of 1974 (“ERISA”) and was funded by E-D Coat’s discretionary profit sharing contributions. E-D Coat was entitled to a tax deduction for the money it placed in the Plan.

2. From at least 2008, LISA ROSSI had fiduciary responsibilities over the Plan and was a

1 signatory over its bank accounts at Bank of America ("BOA") (accounts ending -7862 and -1729).

2 COUNT ONE: (18 U.S.C. § 664 – Theft From an Employee Benefit Plan)

3 3. Paragraphs 1 and 2 are realleged and incorporated by reference.


4 4. Between May 2011 and February 7, 2014, in the Northern District of California, the
5 defendant,


6 LISA ROSSI,

7 did unlawfully and willfully embezzle, steal, and convert to her own use and the use of another monies,
8 funds, securities, premiums, credits, property, and other assets of the Plan, an employee pension benefit
9 plan subject to ERISA, in that the defendant unlawfully and willfully caused transfers of approximately
10 \$66,049.00 from the Plan's Bank of America account ending 7862 for the benefit of others knowing that
11 these funds were owed to specific Plan participants, all in violation of Title 18, United States Code,
12 Section 664.

13
14 DATED: February 3, 2017

BRIAN J. STRETCH
United States Attorney

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17 
18 BARBARA J. VALLIERE
Chief, Criminal Division

19
20 (Approved as to form: )

AUSA BESSETTE